

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

02/01/2002 EFLORES 00000076 10058267

01 FC:201 370.00 OP

02/01/2002 EFLORES 00000077 500821 10058267

01 FC:203 99.00 CH

01/25/02

01-29-02

A

1132 U.S. PTO

Express Mail Label No. EV 018 525 445 US

# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
P-693

Total Pages in this Submission  
4

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application  
Washington, D.C. 20231



25732

PATENT & TRADEMARK OFFICE

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

Methods and Reagents for Analysis of RNA Structure and Function

and invented by:

HORNBY, David P. of Cheshire, United Kingdom  
DICKMAN, Mark of Sheffield, United Kingdom

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/727,138

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Enclosed are:

## Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 44 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

1132 U.S. PTO

10/050267

01/25/02

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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**Application Elements (Continued)**

3. ☐ Drawing(s) *(when necessary as prescribed by 35 USC 113)*  
a. ☐ Formal      b. ☒ Informal      Number of Sheets 2
4. ☒ Oath or Declaration  
a. ☐ Newly executed *(original or copy)*      ☐ Unexecuted  
b. ☒ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*  
c. ☐ With Power of Attorney      ☐ Without Power of Attorney  
d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*  
a. ☐ Paper Copy  
b. ☐ Computer Readable Copy  
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☐ Assignment Papers *(cover sheet & documents)*
9. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing  
☐ First Class      ☒ Express Mail *(Specify Label No.):* EV 018 525 445 US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
P-693

Total Pages in this Submission  
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**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. ☒ Small Entity Statement(s) - Specify Number of Statements Submitted: 1
17. ☐ Additional Enclosures *(please identify below)*:

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

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# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
P-693

Total Pages in this Submission  
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## Fee Calculation and Transmittal

### CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	31	- 20 =	11	x \$9.00	\$99.00
Indep. Claims	1	- 3 =	0	x \$42.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$370.00
OTHER FEE (specify purpose) _____					\$0.00
TOTAL FILING FEE					\$469.00

- ☒ A check in the amount of \$370.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0821 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated:

1/25/2002

Applicant claims small entity status.

John F. Brady  
John F. Brady, Reg. No. 39,118

William B. Walker

Signature


William B. Walker  
Registration No. 22,498  
Transgenomic, Inc.  
2032 Concourse Drive  
San Jose, Ca 95131

CC:

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	NEW
Filing Date	Herewith 
First Named Inventor	HORNBLY 25732
Examiner Name	N/A
Group Art Unit	N/A
Attorney Docket No.	P-693

TOTAL AMOUNT OF PAYMENT \$469.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **50-0821**
- Deposit Account Name
- ☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR § 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	201	370	Utility filing fee	370.00
106	206	165	Design filing fee	
107	207	255	Plant filing fee	
108	208	370	Reissue filing fee	
114	214	80	Provisional filing fee	
SUBTOTAL (1)				\$370.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
31	-20** = 11	9.00	99.00
1	-3** = 0	42.00	0.00
Multiple Dependent			

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
103	203	9	Claims in excess of 20	
102	202	42	Independent claims in excess of 3	
104	204	140	Multiple dependent claim, if not paid	
109	209	42	** Reissue independent claims over original patent	
110	210	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				\$99.00

\*\*or number previously paid, if greater; For Reissues, see above

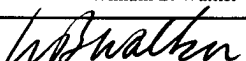
## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
105	205	65	Surcharge - late filing fee or oath	
127	227	25	Surcharge - late provisional filing fee or cover sheet	
139	239	130	Non - English specification	
147	247	2,520	For filing a request for <i>ex parte</i> reexamination	
112	212	920*	Requesting publication of SIR prior to Examiner action	
113	213	1,840*	Requesting publication of SIR after Examiner action	
115	215	55	Extension for reply within first month	
116	216	200	Extension for reply within second month	
117	217	460	Extension for reply within third month	
118	218	720	Extension for reply within fourth month	
128	228	980	Extension for reply within fifth month	
119	219	160	Notice of Appeal	
120	220	160	Filing a brief in support of an appeal	
121	221	140	Request for oral hearing	
138	238	1,510	Petition to institute a public use proceeding	
140	240	55	Petition to revive - unavoidable	
141	241	640	Petition to revive - unintentional	
142	242	640	Utility issue fee (or reissue)	
143	243	230	Design issue fee	
144	244	310	Plant issue fee	
122	222	130	Petitions to the Commissioner	
123	223	50	Processing fee under 37 CFR § 1.17(q)	
126	226	180	Submission of Information Disclosure Statement	
581	281	40	Recording each patent assignment per property (times number of properties)	
146	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	279	370	Request for Continued Examination (RCE)	
169	269	900	Request for expedited examination of a design application	
Other fee (specify)				
SUBTOTAL (3)				\$0.00

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type)	William B. Walker	Registration No. (Attorney/Agent)	22,498	Telephone	(800) 605-0267 Ext. 122
Signature		Date	1/25/2002		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **HORNBY, et al.**

Docket No.

**P-693**

Serial No.

**NEW**

Filing Date

**Herewith**

Examiner

**N/A**

Group Art Unit

**N/A**Invention: **Methods and Reagents for Analysis of RNA Structure and Function****25732**

PATENT &amp; TRADEMARK OFFICE

I hereby certify that this **New Patent Application**

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on **1/25/2002**

(Date)

**E. Tina Domingo**

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

**EV 018 525 445 US**

("Express Mail" Mailing Label Number)

**Note: Each paper must have its own certificate of mailing.****ALSO ATTACHED ARE:**

- ☒ CHECK NO. 3713 IN THE AMOUNT OF \$370.00 FOR TOTAL FEES DUE
- ☒ FEE TRANSMITTAL FORM
- ☒ UTILITY PATENT APPLICATION TRANSMITTAL (4 PAGES)
- ☒ COPY OF EXECUTED DECLARATION AND POWER OF ATTORNEY (3 PAGES)
- ☒ COPY OF SPECIFICATION (44 PAGES)
- ☒ COPY OF INFORMAL DRAWINGS (2 PAGES)
- ☒ VERIFIED STATEMENT OF SMALL ENTITY